

## **GRANTS.GOV ELECTRONIC APPLICATION AND SUBMISSION INFORMATION**

### **1. Application and Submission Process**

The proposal submission process is in two stages. Prospective proposers are encouraged to submit white papers. The reason for requesting white papers is to minimize the labor and cost associated with the production of detailed full proposals that have very little chance of being selected for funding. Based on an assessment of the white papers, the responsible Research Topic Chief will provide informal feedback to the proposer to encourage or discourage them to submit full proposals. White papers arriving after the deadline may not receive, and therefore may not benefit from, the informal feedback. However, all full proposals submitted under the terms and conditions cited in the BAA will be reviewed regardless of the feedback on, or lack of, a white paper.

**Where to Submit:** Proposals may be submitted to ONR through Grants.gov or they may be submitted by hard copy (refer to the applicable BAA for instructions). “White papers” should not be submitted through Grants.govApply process; the only acceptable media will be hard copy. White papers may be submitted in hard copy (either electronically or paper) directly to the cognizant ONR Science and Technology Department. White paper submissions may be either mailed, faxed, or emailed directly to the appropriate ONR Program Officer/Program Manager.

Regardless of whether Grants.gov is used or “hardcopy” submission, the offeror must use the Grants.gov forms from the application package template associated with the BAA on the Grants.gov website. To be considered for award, applicants must include the ONR Department Code in Block 4 entitled ‘Federal Identifier’ of the Standard Form (SF) 424 R&R. **Please ensure to enter the Department Code that best relates to your proposal in Block 4 (Federal Identifier) of the SF 424 R&R to ensure that it is properly routed to the correct Program Office. Only one Department Code may be selected.** Please choose at the more sub-Department level wherever possible (i.e., for parent ONR Code 30, you should select at the 301, 302 or 303 level if possible). A list of the Department Codes can be found at <http://www.onr.navy.mil/> on the right side of the screen.

**Registration Requirements for Grants.gov:** There are several one-time actions you must complete in order to submit an application through Grants.gov (e.g., obtain a Dun and Bradstreet Data Universal Numbering System (DUNS) number, register with the Central Contract Registry (CCR), register with the credential provider, and register with Grants.gov). See [www.grants.gov/GetStarted](http://www.grants.gov/GetStarted) to begin this process. Use the Grants.gov Organization Registration Checklist at [www.grants.gov/assets/OrganizationRegCheck.doc](http://www.grants.gov/assets/OrganizationRegCheck.doc) to guide you through the process. Designating an E-Business Point of Contact (EBiz POC) and obtaining a special password called an MPIN are important steps in the CCR registration process. Applicants, who are not registered with CCR and Grants.gov, should allow at least 21 days to complete these requirements. It is suggested that the process be started as soon as possible.

**Questions:** Questions relating to the registration process, system requirements, how an application form works, or the submittal process must be directed to Grants.gov at 1-800-518-4726 or [support@grants.gov](mailto:support@grants.gov).

**VERY IMPORTANT – Download PureEdge Viewer:** In order to download the application package, you will need to install PureEdge Viewer. This small, free program will allow you to access, complete, and submit applications electronically and securely. For a free version of the software, visit the following web site: [www.grants.gov/DownloadViewer](http://www.grants.gov/DownloadViewer).

## **2. Content and Format of White Papers and Full Proposals**

The white papers and full proposals submitted under this BAA are expected to address unclassified basic research. The full proposal submissions will be protected from unauthorized disclosure in accordance with FAR 15.207, applicable law, and DoD regulations. Proposers are expected to appropriately mark each page of their submission that contains proprietary information. Grants awarded under this announcement will be unclassified.

White Paper content should be as follows:

- A one page cover letter (optional)
- A cover page, labeled "PROPOSAL WHITE PAPER," that includes the BAA number, proposed title, and proposer's technical point of contact, with telephone number, facsimile number, e-mail address, topic number, and topic title
- Identification of the research and issues
- Proposed technical approaches
- Potential impact on DoD capabilities
- Potential team and management plan
- Summary of estimated costs
- Curriculum vitae of key investigators

The white paper should provide sufficient information on the research being proposed (e.g. hypothesis, theories, concepts, approaches, data measurements and analysis, etc.) to allow for an assessment by a technical expert. It is not necessary for white papers to carry official institutional signatures.

### **Grants.gov Proposal Submission: Content and Format of Applications**

Application forms and instructions are available at Grants.gov. To access these materials, go to <http://www.grants.gov>, select "Apply for Grants", and then select "Download Application Package". Enter the CFDA for ONR – 12.300 and the funding opportunity number (BAA 06-XXX), designated as "research opportunity number" on page two of this announcement. NOTE: You will not be able to download the Application Package unless you have installed PureEdge Viewer (See: <http://www.grants.gov/DownloadViewer>).

### **Content and Form of Application – SF 424 (R&R)**

You must complete the mandatory forms and any applicable optional forms (e.g., SF-LLL Disclosure of Lobbying Activities) in accordance with the instructions on the forms and the additional instructions below. **Files that are attached to the forms must be in Adobe Portable Document Format (PDF) unless otherwise specified in this announcement.**

#### **FORM: SF 424 (R&R)**

Complete this form first to populate data in other forms. Complete all the required fields in accordance with the pop-up instructions on the form. To activate the instructions, turn on the "Help Mode" (icon with the pointer and question mark at the top of the form). The list of certifications and assurances referenced in Field 18 can be found on the ONR Home Page at Contracts and Grants. The certification package for grants is entitled, "Certifications for Grants and Agreements."

#### **FORM: RESEARCH & RELATED Other Project Information.**

Complete Questions 1 through 5 and attach files. The files must comply with the following instructions:

**Project Summary/Abstract (Field 6 on the Form)**

The project summary should be a single page that identifies the research problem, technical approaches, anticipated outcome of the research, if successful, and impact on DoD capabilities. It should identify the Principal Investigator, the university and other universities involved, if any, the proposal title, the agency to which the proposal is submitted, and the total funds requested from DoD for the \_\_\_year base period, the \_\_\_-year option period and the \_\_\_-year total period. The project summary must not exceed 1 page when printed using standard 8.5" by 11" paper with 1" margins (top, bottom, left and right) with font Times New Roman, 12 point. To attach a Project Summary/Abstract, click "Add Attachment."

**Project Narrative (Field 7 on the form)**

The Following Formatting Rules Apply for Field 7

- Paper size when printed - 8.5 x 11 inch paper
  - Margins - 1 inch
  - Spacing -single
  - Font - Times New Roman, 12 point
  - Number of pages - no more than \_\_\_\_\_single-sided pages.
- The cover, table of contents, list of references, letters of support, and curriculum vitae are excluded from the page limitations. Full proposals exceeding the page limit may not be evaluated.

Include the Following in Field 7

The first page of your narrative must include the following information:

- Principal Investigator name
- Phone number, fax number and e-mail address
- Institution, Department, Division
- Institution address
- Other universities involved
- Current DoD Contractor or Grantee? If yes, provide Agency, point of contact; phone number
- Proposal title
- Institution proposal number
- Agency to which proposal is submitted
- Topic number and topic title
- Table of Contents: List project narrative sections and corresponding page numbers.
- Statement of Work: A Statement of Work (SOW) should clearly detail the scope and objectives of the effort and the specific research to be performed under the grant if the proposal is selected for funding. It is anticipated that the proposed SOW will be incorporated as an attachment to any resultant award

instrument. To this end, this project narrative must include a severable self-standing SOW, without any proprietary restrictions, which can be attached to a grant award.

- Technical Approach: Describe in detail the basic science and/or engineering research to be undertaken. State the objective and approach, including how data will be analyzed and interpreted. Discuss the relationship of the proposed research to the state-of-the-art knowledge in the field and to related efforts in programs elsewhere. Include appropriate literature citations/references. Discuss the nature of expected results. Discuss potential applications to defense missions and requirements. Describe plans for the research training of students. Include the number of full time equivalent graduate students and undergraduates, if any, to be supported each year. Discuss the involvement of other students, if any.
- Project Schedule, Milestones and Deliverables: A summary of the schedule of events, milestones, and a detailed description of the results and products to be delivered.
- Assertion of Data Rights: A summary of any proprietary rights to pre-existing results, prototypes, or systems supporting and/or necessary for the use of the research, results, and/or prototype. Any data rights asserted in other parts of the proposal that would impact the rights in this section must be cross-referenced. If there are proprietary rights, the proposer must explain how these affect its ability to deliver research data, subsystems and toolkits for integration. Additionally, proposers must explain how the program goals are achievable in light of these proprietary limitations. If there are no claims of proprietary rights in pre-existing data, this section shall consist of a statement to that effect.
- Management Approach: A discussion of the overall approach to the management of this effort, including brief discussions of: required facilities; relationships with any subawardees and with other organizations; availability of personnel; and planning, scheduling and control procedures.

(a) Describe the facilities available for the accomplishment of the proposed research and related education objectives. Describe any capital equipment planned for acquisition under this program and its application to the proposed research. If possible, budget for capital equipment should be allocated to the first budget period of the grant. Include a description of any government furnished equipment/hardware/software/information, by version and/or configuration that are required for the proposed effort.

(b) Describe in detail proposed subawards to other eligible universities or relevant collaborations (planned or in place) with government organizations, industry, or other appropriate institutions. Particularly describe how collaborations are expected to facilitate the transition of research results to applications. Descriptions of industrial collaborations should explain how the proposed research will impact the company's research and/or product development activities. If subawards to other universities are proposed, make clear the division of research activities, to be supported by detailed budgets for the proposed subawards.

(c) Designate one individual as the Principal Investigator for the award, for the purpose of technical responsibility and to serve as the primary point-of-contact. Briefly

summarize the qualifications of the Principal Investigator and other key investigators to conduct the proposed research.

(d) List the amount of funding and describe the research activities of the Principal Investigator and co-investigators in on-going and pending research projects, whether or not acting as Principal Investigator in these other projects, the time charged to each of these projects, and their relationship to the proposed effort.

(e) Describe plans to manage the interactions among members of the proposed research team.

(f) Identify other parties to whom the proposal has been, or will be sent, including agency contact information.

- List of References: List publications cited in above sections.
- Letters of Support: Up to 3 Letters of Support from various DoD agencies may be included.
- Curriculum Vitae: Include curriculum vitae of the Principal Investigator and key co-investigators.

**All applications should be in a single PDF file.** To attach a Project Narrative in Field 7, click “Add Attachment.”

#### **Bibliography & References Cited (Field 8 on the form)**

This field not required.

#### **Facilities & Other Resources (Field 9 on the form)**

This field not required.

#### **Equipment (Field 10 on the form)**

This field not required.

#### **Other Attachment (Field 11 on the form)**

If you need to elaborate on your responses to questions 1-5 on the “Other Project Information” document, **provide the information in field 7 as part of your project narrative. Do not attach a file in field 11.**

#### **FORM: Research & Related Budget:**

Complete the Research and Related Budget form in accordance with the instructions on the form (activate Help Mode to see instructions) and the following instructions. You must provide a detailed cost breakdown of all costs, by cost category, by the funding periods described below, and by task/sub-task corresponding to the task number in the proposed Statement of Work which was provided in Field 7 of the Research and Related Other Project Information Form. Options must be separately priced. The form will generate a cumulative budget for the total project period. You must complete all the mandatory information on the form before the NEXT PERIOD button is activated. You may request funds under any of the categories listed as long as the item and amount are necessary to perform the proposed work and

meet all the criteria for allowability under the applicable Federal cost principles. The budget should adhere to the following guidelines:

Detailed breakdown of all costs, by cost category, by the calendar periods stated below. For budget purposes, use an award start date of \_\_\_\_\_. For the \_\_\_\_\_-year base grant, the cost should be broken down to reflect funding increment periods of:

- (1) \_\_\_\_\_,
- (2) \_\_\_\_\_,
- (3) \_\_\_\_\_, and
- (4) \_\_\_\_\_.

Note that the budget for each of the calendar periods (e.g. 01 May 07 to 30 Sep 07) should include only those costs to be expended during that calendar period.

The budget should also include an option for \_\_\_\_ additional years broken down to the following funding periods:

- (1) \_\_\_\_\_,
- (2) \_\_\_\_\_, and
- (3) \_\_\_\_\_.

Annual budget should be driven by program requirements. Elements of the budget should include:

- Direct Labor - Individual labor category or person, with associated labor hours and unburdened direct labor rates.
- Indirect Costs - Fringe benefits, overhead, G&A, COM, etc. (must show base amount and rate). Justify in Field K.
- Travel - Number of trips, destination, duration, etc. Justify in Field K.
- Subcontract - A cost proposal as detailed as the proposer's cost proposal will be required to be submitted by the subcontractor. Include in Research & Related Subaward Budget Attachment Form.
- Consultant - Provide consultant agreement or other document that verifies the proposed loaded daily/hourly rate. Include a description of the nature of and the need for any consultant's participation. Strong justification must be provided, and consultants are to be used only under exceptional circumstances where no equivalent expertise can be found at a participating university. Provide budget justification in Field K.
- Materials - Specifically itemized with costs or estimated costs. An explanation of any estimating factors, including their derivation and application, shall be provided. Include a brief description of the proposer's procurement method to be used (competition, engineering estimate, market survey, etc.). Justify in Field K.
- Other Directs Costs - Particularly any proposed items of equipment or facilities. Equipment and facilities generally must be furnished by the contractor/recipient (justifications must be provided when Government funding for such items is sought). Include a brief description of the proposer's procurement method to be used (competition, engineering estimate, market survey, etc.). Justify in Field K.

**Budget Justification (Field K on the form):**

Provide the required supporting information for the cost elements as shown above (see Research & Related Budget instructions) and listed as follows: indirect cost, travel, consultant, materials, and other direct costs. Provide any other information you wish to submit to justify your budget request. The Research and Related Budget Form only includes five performance periods (*if this is a MURI BAA, the MURI BAA requires reporting of seven budget periods. Attach the budget information for the last two MURI budget periods, 01 October 2010 to 30 September 2011, and 01 October 2011 to 30 April 2012, in Field K in the same format as that provided for the first five budget periods.*) Funding breakdown by task/sub-task corresponding to the task number in the proposed Statement of Work which was provided in Field 7 of the Research and Related Other Project Information Form must also be attached in Field K.

**FORM: R&R Subaward Budget Attachment(s) Form Budgets for Subawardees.**

You must provide a separate cumulative and multi-year R&R budget for each subawardee. Download the R&R Budget Attachment from the R&R SUBAWARD BUDGET ATTACHMENT(S) FORM and e-mail it to each subawardee that is required to submit a separate budget. A cost proposal as detailed as the proposer's cost proposal will be required to be submitted by the subcontractor. Note: Subawardees must have installed PureEdge Viewer before they can complete the form. After the Subawardee has e-mailed its completed budget back to you, attach it to one of the fields provided on the R&R SUBAWARD BUDGET ATTACHMENT(S) FORM. Use up to 10 letters of the subawardee's name as the file name (e.g., ucla.xfd or stanford.xfd).

**SF-LLL Disclosure of Lobbying Activities Form**

If applicable, complete SF- LLL. Applicability: If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the grant/cooperative agreement, you must complete and submit Standard Form - LLL, "Disclosure Form to Report Lobbying."

**Proposal Receipt Notices**

After a proposal is submitted through Grants.gov, the Authorized Organization Representative (AOR) will receive a series of three e-mails. It is extremely important that the AOR watch for and save each of the e-mails. You will know that your proposal has reached ONR, ARO or AFOSR when the AOR receives e-mail Number 3. You will need the Submission Receipt Number (E-mail Number 1) to track a submission. The three e-mails are:

Number 1 – The applicant will receive a confirmation page upon completing the submission to Grants.gov. This confirmation page is a record of the time and date stamp for the submission.

Number 2 – The applicant will receive an e-mail indicating that the proposal has been validated by Grants.gov within a few hours of submission. (This means that all of the required fields have been completed.)

Number 3 – The third notice is an acknowledgment of receipt in e-mail form from the designated agency within ten days from the proposal due date. For white papers the e-mail is sent to the Principal Investigator and for proposals the e-mail is sent to the authorized representative for the institution. The e-mail for white papers notes that the white paper has been received and the e-mail for proposals notes that the proposal has been received and provides the assigned tracking number. Hard copy submissions will

receive only e-mail number 3.

#### **4. Submission of Late Proposals (Not applicable for ONR Long Range BAA(s))**

Any proposal submitted through Grants.gov where the time and date for submission (E-mail Number #1) is after the deadline for proposal submission in Section IV.3, will be late and will not be evaluated unless the Grants.gov website was not operational on the due date and was unable to receive the proposal submission. If this occurs, the time specified for the receipt of proposals through Grants.gov will be extended to the same time of the day specified in this BAA on the first workday on which the Grants.gov website is operational.